



**DEPARTMENT OF WORKFORCE SERVICES
ISSUANCE PY 14-02**

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TO: Local Workforce Investment Areas/Service Providers

SUBJECT: PY 2012 Data Element Validation Issues and Results

1. **Purpose:** To notify Local Workforce Investment Areas (LWIAs) of PY 2012 Data Element Validation (DEV) results.
2. **Background:** In 2001 the President announced a Management Agenda to improve the management and performance of the Federal Government. One of the five government-wide goals, budget and performance integration, emphasizes the importance of complete information for program monitoring and improving program results. A performance audit conducted by the Department's Office of Inspector General found that the accuracy of state-reported performance outcomes cannot be assured due to insufficient local, state, and federal oversight. To address these concerns, and to ensure the accuracy of data collected and reported on the workforce investment system, the Employment and Training Administration expanded efforts to conduct data validation. *[TEN 14-02, dated May 28, 2003]*

Data validation information from the Department of Labor (DOL) includes the following: TEN 14-02, May 28, 2003; TEGL 3-03, August 20, 2003; TEGL 3-03, Change 1, August 20, 2004; TEGL 3-03, Change 2, October 20, 2004; TEGL 3-03, Change 3, July 15, 2005; TEN 9-06, August 15, 2006; TEN 19-07, December 11, 2007; TEN 9-08, September 3, 2008; TEN 8-09, August 25, 2009; TEGL 31-09, June 11, 2010; TEGL 27-10, Change 1, July 25, 2011; TEGL 28-11, May 9, 2012. The WIA data validation User Guide 7.2 is available from the following website: http://www.doleta.gov/performance/reporting/tools_datavalidation.cfm

WIA data element validation was initiated by DOL August 2003. Data element validation involves yearly on-site reviews of a sample of participant records against source documentation to ensure the accuracy of WIA performance reporting. The sample of files is selected by DOL software from the Workforce Investment Act Standardized Record Data Report (WIASRD) submitted by the state for its WIA Annual Report. Worksheets printed from the software contain data elements to be validated on a "pass" or "fail" basis. Data elements are selected for validation based on three factors:

Feasibility – The Employment and Training Administration (ETA) validates data elements only when it is practical and efficient to locate and examine supporting evidence within the state records. Therefore, such items as race, ethnicity, and gender will not be validated because these data elements are self-reported by participants, and it is not efficient to locate the participant to document these characteristics. It is also not practical to validate for data entry errors.

Risk – The process for validating data elements is based partly on the likelihood that the data element may be inaccurate. Data elements involving human judgment are more prone to error than data elements that do not involve human judgment. For example, determination of employment based on supplemental sources is more likely to be in error than determination of employment from wage records.

Importance – Data elements are selected for validation based primarily on their importance to the integrity of the Annual Report. The software automatically selects samples from the records for each program group: adults, dislocated workers, National Emergency Grant (NEG), older youth and younger youth and displays the sampled data on individual validation worksheets. Records are oversampled if they are important for the calculation of performance measures and if they have a higher risk of error. The data validation software provides DOL with an estimate of the error rates for the data that states report.

To evaluate the accuracy of these elements, the software calculates two error rates for each data element selected for validation: an “overall error rate” and a “reported error rate”. The “overall error rate” equals the number of records in error divided by the total number of records sampled for that funding stream, weighted to account for the over- and under-sampling of particular types of records. Because certain data elements may not be present in every sampled record, the software also calculates a “reported error rate”. This reported error rate includes in the denominator only those records for which the particular data element was validated. In this situation, the error rate equals the number of records in error divided by the total number of records for which the particular data elements were validated, weighted to account for the over- and under-sampling of particular records.

For data element validation (DEV), DOL has a 5% provisional threshold accuracy standard for each data element.

General Information: The Department of Workforce Services (DWS) has completed DEV reviews for PY 2012. The software provided by DOL to enter and track data element validation results reports statewide results and does not have the capability to report results by LWIA. Attached are the summary reports of the PY 2012 DEV reflecting the number and the percent of errors for each data element. A separate report is provided for each funding stream: adult, dislocated worker, NEG, older youth and younger youth. Whether electronic or paper, the purpose of source documentation is to have an auditable trail that documents eligibility, services delivered, and outcomes received.

The information and examples described below are a compilation of data element validation issues identified from local area visits. It is our intention that these examples will assist staff in the effort of determining correct documentation. All data elements and source documentation are not covered below.

TWO TYPES OF VALIDATION RULES

MATCH

Data on the worksheet and data on the source documentation must exactly match. Example, if the worksheet says a participant's date of birth is February 2, 1976, then the source documentation, such as a birth certificate, must also have February 2, 1976.

SUPPORT

Data on the worksheet must be supported by the data in the source documentation. To support the data on the worksheet, the source documentation must provide evidence that the data on the worksheet is correct. This instruction is used when information must be interpreted or processed before it can be used to assess the accuracy of the data on the participant's records. Example, source documentation is used to support youth who need additional assistance because validators must interpret policy and determine if the documentation supports that policy.

FOUR TYPES OF SOURCE DOCUMENTATION

CROSS MATCH

A cross-match requires a printout from a non-WIA database. For example, Temporary Assistance for Needy Families (TANF) participation is determined by a printout from the TANF database with dates of participation and services rendered.

STATE MANAGEMENT INFORMATION SYSTEM (MIS)

State MIS refers to specific, detailed information that is stored in the state information system that supports an element. An indicator, such as a checkmark on a computer screen alone is not acceptable source documentation. For example, state MIS is acceptable source documentation for date of first training service. To be an acceptable source to validate the element, the state MIS should have detailed information about the type of training and the organization that provided the training in addition to the date of first training. This detailed information makes valid source documentation and makes it unnecessary for such states to validate this data element in local offices.

SELF-ATTESTATION

Self-attestation occurs when a participant states his or her status for a particular data element, such as pregnant or parenting youth. The key elements for self-attestation are: (a) the participant identifying his or her status, and (b) signing and dating a form attesting to this self-identification.

CASE NOTES

Case notes refers to either paper or online statements by the case manager that identify a participant's status for a specific data element, the date on which the information was obtained, and the case manager who obtained the information. Detailed case notes are an invaluable tool to collect pertinent information that describes what has transpired throughout the participant's involvement with the WIA programs. Case notes must state more than "he was in school", "he was employed" or, "he was homeless." The notes should fully describe the element that is validated. For example, adequate documentation for a "drop-out letter" from a school includes a dated signature by school staff, the name of the participant, name of the school (letterhead), grade dropped out of, and month and year dropped out.

PY 2012 DATA ELEMENT VALIDATION ISSUES

Most of these issues do not appear to be a lack of understanding of the guidelines but are input or typing errors. Several of the "match" element errors were easily recognizable as input errors. Implementing a 30 day review process may help to decrease these errors.

Documentation requirements for the issues below are for all youth, and for adults, dislocated workers and NEG participants who were provided more than core services. During a recent DOL participant file review, DOL located documentation in the file for elements that the state had marked "fail". Whenever state staff cannot locate documentation, the file is returned to local area staff for review. It is important that staff thoroughly review the file for documentation.

ADULTS

#3 Date of Birth (Demographics Snapshot)

- Date entered in Arkansas JobLink (AJL) did not match the date in the file.

#12 Veteran (Demographics Snapshot)

Note: An individual on current active U.S. military duty is not a veteran, however, if they had previously served in the military and were discharged and then at a later date re-entered the military, then they would be a veteran. An individual in the reserves is not a veteran unless they had previously served in the active U.S. military or if during participation in the reserves they served more than 180 consecutive days in the U.S. active military.

An individual in the National Guard is not a veteran unless they were called to U.S. active military duty on federal authority for more than 180 consecutive days.

- Documentation was not in the file. A note in the file stated that documentation would be obtained.

#16 Employment Status at Participation (Demographics Snapshot)

Note: This element affects the adult/dislocated worker entered employment performance measure.

Note: It is important to understand how to ask if an individual is employed. For example, when asking the applicant their employment status at participation, it is necessary that the individual understands the complete definition of “employment status at participation”. The applicant may not realize that “employed” includes work performed in an enterprise operated by a member of the family, or not working due to an illness, bad weather, etc. These individuals are considered employed for WIA purposes.

Note: When case notes are used for documentation, the information should include the same type of information that could be obtained from a pay stub and the note should state that the information was received from the individual. The note should state more than, “he was working.”

- Documentation was not in the file.
- “Employed” was selected in AJL, but the participant was not employed.

#20 Income (Demographics Snapshot)

Note: Telephone verification is not allowable.

- Information in the file stated he had no income to report. Other information stated he had been working during the six months prior to registration, but was not working at the time of registration. Income includes any income earned during the previous six months prior to program participation.

#22 Other Public Assistance Recipient (Demographics Snapshot)

Note: Other public assistance consists of a person who is receiving or has received cash assistance or other support services from food stamp assistance or supplemental security income (SSI-SSA Title XVI).

- The participant was living in a housing facility for individuals with alcohol and drug problems. Staff considered this as public assistance.
- Staff interpreted Medicare, Women, Infant and Children (WIC) and foster care payments as public assistance.

#70 Date Training Ended (S&T)

- When information is added to the training screen, the edit date at the bottom of the screen is automatically entered and reflects the date the information was added. In almost all cases the last information that is added to a training screen is the “actual end date” and the status. In this file the edit date was 12/23/2011. The training “actual end date” was 9/13/2010. Most likely the service was held open over a year until the service end date was entered in December.

#89 & #90 Supplemental Wages Q2 (Program Details)

Note: These elements affect the adult and dislocated worker employment retention performance measure.

Note: Documentation for supplemental wages is not required if UI, WRIS or FEDES wages are present. (UI = Arkansas wages; WRIS = wages from other states; FEDES = wages from federal employment.)

- Documentation was not in the file.
- Supplemental wages were entered in AJL, however, documentation in the file was noted “n/a” for wages.

#91 & #92 Supplemental Wages Q3 (Program Details)

Note: These elements affect the adult and dislocated worker employment retention performance measure.

- Documentation was not in the file.
- Supplemental wages were entered in AJL, however, the form in the file was noted “n/a” for wages.

DISLOCATED WORKERS

#3 Date of Birth (Demographics Snapshot)

- Date of birth in AJL did not match the documentation.
- Two types of documentation in the file had a different date from the date entered in AJL.

#16 Employment Status (Demographics Snapshot)

Note: This element affects the adult and dislocated worker entered employment performance measure.

- Documentation was not in the file.
- Recorded in AJL that the participant was employed. Documentation in the file did not support employment.

#21 TANF (Demographics Snapshot)

- The file contained a local area form signed by Department of Human Services (DHS) staff which is not allowable documentation. A cross-match from TANF is the only allowable documentation. Cross-match is a print-out from the TANF computer program.

#22 Other Public Assistance Recipient (Demographics Snapshot)

- Documentation was not in the file.

#25 Date of Dislocation (Demographics Snapshot)

Note: Self-attestation is allowable documentation and can be included on the WIA application. The employer name and date of layoff must be present, and the participant must sign and date the application.

- Documentation was not present to support the status of dislocated worker.
- Date in AJL did not match date on employer list.
- Date of dislocation in AJL was one day different from the employer letter.
- Date on the documentation did not match the date in AJL. The date had been corrected on the Universal demographics in AJL, but the correct date was not entered on the Demographics Snapshot. After initial entry of information in the Universal demographics, modifications do not automatically transfer to the snapshot. It is not necessary to correct information on the Universal demographics. If demographic information is incorrect only the Demographics Snapshot must be modified.
- Date entered in AJL did not match the date in the file.
- File contained an employer letter with an employee list, but the date of dislocation was not recorded.

#91 & 92 Supplemental Wages Q3 (Program Details)

Note: These elements affect the adult and dislocated worker employment retention performance measure.

Note: Documentation for supplemental wages is not required if UI, WRIS or FEDES wages are present. (UI = Arkansas wages; WRIS = wages from other states; FEDES = wages from federal employment.)

- It was unclear if case notes documented Q3 supplemental wages because the note was not properly dated for the third quarter, and the narrative in the note did not specify the quarter the wages were received.

YOUTH

#3 Date of Birth (Demographics Snapshot)

- Date of birth in AJL did not match the date in the file.

- The year entered in AJL was 1992. The year on the birth certificate was 1991.
- The file contained a self-attestation statement, which is not allowable documentation.

#16 Employment Status at Participation (Demographics Snapshot)

Note: This element affects the youth placement in employment or education performance measure.

- AJL was marked employed at participation, but information in the file stated she was not employed.

#20 Low Income (Demographics Snapshot)

Note: Telephone verification is not allowable documentation.

Note: An applicant statement must clearly identify the status of the individual. For employment include information that would be found on a pay stub such as the name of the employer, dates of employment, amount of income. The statement must be signed by the individual.

- Income documentation was more than six months old. Documentation should reflect the six month period prior to program participation.
- Income was figured using I-Wage. There was not sufficient information on I-Wage for the prior six months to make it possible to determine income. Printouts from I-Wage are not a good documentation source. Wages are recorded in quarters and six months of prior income may not fit into exact quarters.
- Documentation was not in the file.
- SSI documentation was in the file, but it was more than a year prior to the registration date. Documentation should reflect the six month period prior to program participation.

#22 Other Public Assistance Recipient (Demographics Snapshot)

Note: A telephone or e-mail verification is not allowable documentation.

- Documentation was not in the file.
- “Yes” was entered in AJL, however, documentation was not in the file. Staff may have incorrectly assumed that receiving UI was public assistance.
- File had documentation for SSI, but it was dated over a year prior to the registration date.

- File was marked SSI, but there was no documentation.
- AJL was marked “no”, for public assistance, however, food stamps documentation was in the file.

#26 Homeless Individual (Demographics Snapshot)

- The participant was living with a girlfriend which does not meet the definition of homeless.

#28 Pregnant or Parenting Youth (Demographics Snapshot)

- There was no documentation in the file.

#29 6th Barrier (Demographics Snapshot)

Note: Sixth barrier policies containing terminology such as social, mental, environmental, and psychological are confusing to staff and, therefore, result in incorrect documentation or no documentation. Additionally, policies cannot contain suggested documentation that is not included in DOL’s allowable source documentation such as census documentation, letter from doctor, or court records. If such documentation is used for the purpose of data element validation, the item will be marked “fail”. Example, instead of using census documentation for an economically depressed area, case notes could be used to describe the economically depressed area in which the participant resides. Case notes become the documentation. Case notes are included in DOL’s source documentation. It is not permissible to state that any barrier that is “not previously mentioned” can be used as a barrier. Each barrier must be specifically listed.

- Several instances occurred where documentation was in the file but AJL was marked “no”. All barriers that an individual may possess must be marked in AJL. Barriers that are marked “no” are not validated and they are not included in the WIASRD. Reported barriers increase the state’s count of hard-to-serve individuals.
- AJL was marked “yes” but documentation in the file was marked “no”.
- “Yes” was selected in AJL, however, documentation was not in the file to support a barrier.

#30 School Status at Participation (Demographics Snapshot)

Note: This element affects the placement in employment or education performance measure.

Note: Adult education is not considered alternative school. High school dropout is the correct selection. A student who leaves the traditional school setting and is placed in alternative school is considered to be attending school in a setting that is an extension of the high school. Adult Education is not an extension of high school.

- Documentation was not in the file.
- “In high school” was selected in AJL, however, the WIA application reflected the participant was in alternative school. Documentation was not in the file to support attendance in alternative school.
- Alternative school was selected for school status. Information in the file reported that he was in Job Corps. Job Corps is not alternative school.
- Alternative school was selected for school status. Information in the file reported that he was attending Adult Education to earn a GED.

#31 Basic Skills Literacy Deficiency (Demographics Snapshot)

Note: Documentation must state more than “he is basic skills deficient”. It must include the skills that are deficient, test scores and outcome levels.

- The basic skills test was approximately ten months prior to registration. Basic skills deficiency is a barrier determined during the eligibility process. It is allowable to use a test taken that is up to six months prior to the date of the first WIA youth service.
- “Yes” was selected in AJL by mistake.
- Youth were marked basic skills deficient in AJL, but documentation was not in the file.
- “Not attending school, high school graduate” was selected in AJL. Documentation in the file was marked “in school”.

#32 Foster Care Youth (Demographics Snapshot)

- Documentation was not in the file.

#61 Other Exit Reasons (Program Details)

Note: If a woman is pregnant, she must have a doctor’s note stating that she is unable to participate for at least 90 days. Pregnancy itself is not a health/medical reason since many women continue to work into the last month.

- The participant was exited due to a family care situation, but the file did not indicate the condition was expected to last at least 90 days. Because “other exit reasons” allow the participant to be excluded from performance measures, documentation must include information that the participant is expected to be unable to participate for at least 90 days.

#77 Enrolled in Education During Participation (Demographics, S&T, Exit Questions)

Note: This element affects the attainment of a degree or certificate performance measure.

Note: This item is to record attendance in education any time during WIA participation including if the youth was already enrolled at the time of participation or became enrolled on the date of exit. Case notes are allowable documentation, but it must be stated that the information was verified by the training provider. Documentation must contain a date that is within the participation period.

- Documentation was not in the file to support enrollment in school.
- The file contained a degree plan that was not dated. An e-mail from the participant was in the file with classes listed, but it is not allowable documentation.
- Case note stated “he is at GED class”, but there was no verification from the school. The case note must state that the information was obtained from the school.
- The youth was enrolled in education on the last day of participation. School documentation was not present, and the case note did not contain verification from the school.
- Allowable documentation was not found in the file. The file contained a statement from the mother, which is not acceptable documentation.
- A self-attestation form was in the file, which is not allowable documentation.

#81 Received Additional Support for Youth Services – Mentoring (S&T)

Note: Mentoring must be a structured program that is not provided by a case manager.

#83 Follow-Up Services (S&T)

- Follow-up Services was opened on the S&T the day after the exit date. Case notes do not reflect a follow-up service provided until three months later. The service should not be created until it is actually provided. On the S&T the dates for the service are a span of time representing 12 months. However, since follow-up did not actually begin for three months, only nine months of service was provided.
- Case notes stated that follow-up was successfully completed, however, the case manager was never able to contact the participant. Follow-up cannot be successful if the participant was not contacted.

#84/#85/#89/#90/#91/#92 Supplemental Wages Q1,Q2,Q3 (Program Details)

Note: #84 & #85 affect the placement in employment or education performance measure.

Note: Documentation for supplemental wages is not required if UI, WRIS or FEDES wages are present. (UI = Arkansas wages; WRIS = wages from other states; FEDES = wages from federal employment.)

- Documentation was not in the file.
- Several files contained case notes for a specific follow-up quarter that were dated up to five months or more from the date of the applicable quarter. It was unclear whether the information was gathered at the appropriate time or several months after the quarter. The case note should be dated for the quarter in which the information applies.

#103 - #150 Younger Youth Goals (Enrollment Details)

Note: These elements affect the younger youth skill attainment rate performance measure. As a common measure state Arkansas is no longer accountable for this performance measure, however, all data associated with the measure is reported to DOL on the WIASRD.

Note: Local areas may choose to provide this program to younger youth when it is determined the youth will benefit. All DOL guidelines pertaining to this program must be followed. Easily identifiable documentation for each goal should contain the following: name of goal type (basic skills, occupational skills or work readiness), date the goal was attained, dated pre- and post-tests, description of the goal that identifies exactly what the client had to accomplish to attain the goal such as “positive work habits”, “positive attitude” “regular attendance”, etc., and whether the participant achieved or did not achieve each of the items for the goal.

- Documentation must identify areas that are deficient, the test score, and the grade level. Included should be a description of what the participant was required to meet in order to achieve the goal, such as “must achieve 70% of the objectives and it should show if the objectives were or were not achieved. If the goal failed, the file must contain evidence of the failed goal.
- If the goal set date is not the same date as the date the test was administered, the date the goal was actually set must be on the documentation. The goal set date for the first goal must be the date of youth participation or a date within a few days after that date. The set date represents the time that work towards achieving the goal begins. A participant must be enrolled before they begin work on a goal so a start date that is prior to the date of youth participation is not appropriate. The youth has one year to work on the goal and the one year begins on the goal set date. If the goal set date was December 1st but remediation did not begin until January 1st, then the youth has lost one month from the total year that was allowed to attain the goal.
- Test information was not in the file for occupational skills and work readiness.

- Dates of the pre-test and the post-test were not in the file.
- There were no pre or post-tests in the file.
- Three files did not have a work readiness pre-test. Without a pre-test it is not possible to determine if the youth was deficient and if there was an increase or decrease on the post-test.
- Post-test documentation was not in the file.
- Documentation for basic skills goals was not in the file.

#151 Attained Diploma GED, or Certificate (Outcomes)

Note: This element affects the attainment of a degree or certificate performance measure. Documentation must clearly state that the attainment date was during participation or by the end of the third quarter after exit.

- Documentation was not in the file.
- GED was selected in AJL, but the certificate was actually a high school diploma.
- Recorded in AJL that he received a high school diploma, but the diploma in the file was a GED.
- A hand written note by the case manager was in the file, which is not allowable documentation.
- AJL reflected that a diploma had been obtained, however, a diploma was not found in the file. A case note stated he was in school and had not graduated.

#152 Date Attained Degree or Certificate (Outcomes)

Note: The date entered in AJL must be a complete date such as 02/02/1976 and must match the date on the documentation. However, it is allowable to accept a diploma that contains only the month and year as long as the month and year match the entry in AJL.

- The diploma was dated the 20th but the 27th was recorded in AJL. The dates must match.
- A hand written note by the case manager was in the file, which is not allowable documentation.
- Date in the file did not match date entered in AJL.

#153 School Status at Exit (Exit Questions)

Note: This element affects the attainment of a degree or certificate performance measure.

Note: With the exception of case notes, it is unlikely that the source document will contain the school status on the specific date of exit. Because the validation rule is “support” and not “match” any one of the acceptable source documents could be used to determine if there is sufficient information to determine that the reported value was accurate.

- “In-school” was selected in AJL, but information in the file showed that the participant was actually employed and not in school.
- The case manager keyed the wrong selection into AJL.
- “In post-high school” was entered in AJL. The participant was employed and not in school.
- “In-school, post-high school” was selected in AJL. The individual had already received a college diploma and was planning further education, but there was no documentation.
- “In-school, post-high school” was selected in AJL, but the case note said she was not in school.
- Documentation in the file stated that he was *planning* on attending college in the future. AJL was marked “in post-high school”. The WIASRD states that if they are between terms and intend to return to school then they are considered “in school”, however, they are not between terms if they have not enrolled. If the youth is *thinking* about attending college or *planning* to attend college but not *attending* college, they are not “in school” and they are not “between terms”. Select “not attending school”. The youth must be attending school before staff is allowed to select “In-school post-high school” in AJL.
- Documentation was not in the file.
- “In post-high school” was entered in AJL, but he was not in post-high school. The entry was probably made because he was *anticipating* entering college.
- “Not in post-high school” was entered in AJL, which was incorrect.
- “In alternative school” was selected in AJL. The participant was not in alternative school.

- “In high school” was selected. The youth was not in high school at the time of exit as evidenced by a high school diploma that was obtained prior to exit.
- “Attending post-secondary school” was selected in AJL. The youth was not enrolled in college as evidenced by other information in the file.
- “In post-high school” was selected in AJL for five participants. Case notes reported that they were not in post-high school at exit, but were *planning* to attend later.
- The entry in AJL was not correct.
- The participant graduated from high school approximately two months after exit. The entry in AJL was “in post-high school at exit”.
- Post-high school was recorded in AJL. The case note stated the participant was not in post-high school, but was *planning* on attending college three months after exit.
- The case note at exit said the youth was finished with WIA because she had to attend college cheerleading camp. Staff explained that she would not be a cheerleader if she was not already enrolled in school. The very next note in the same quarter mentioned that she was in college. This information was probably not intended as documentation for this item. This one passed, but it was a stretch. A better quality case note would be more specific about school enrollment.

#154 Placement Q1 (Outcomes)

Note: This element affects the placement in employment or education performance measure. Documentation must clearly show the time period of the first quarter after exit.

- AJL reported enrollment in an apprenticeship program. The youth was at Job Corps which is not an apprenticeship program.
- “In post-secondary” was selected in AJL, but the follow-up form said he was not in post-secondary during Q1.
- Attendance in post-secondary school was not documented in the file. He had graduated from college about four months earlier.
- Documentation was not in the file.
- “Entered post-secondary education” was selected in AJL. She had been accepted but was not enrolled.

- Staff entered “in post-secondary” in AJL. He was not attending school.
- “In post-secondary education” was selected in AJL. A college acceptance letter was in the file, but documentation was not available for enrollment or attendance in post-secondary education.
- “Entered post-secondary education” was selected in AJL. The participant file only contained documentation for employment.
- “In post-secondary education” was selected in AJL. The file contained documentation that the youth was employed and not in school.

#156 – #198 Literacy-Numeracy Test Information (Out-of-School Youth Testing Information)

Note: These elements affect the literacy and numeracy gains performance measure. The file must contain a copy of the test scoring sheets with the date of the test, and score. Case notes must detail the participant’s progress.

Note: Literacy-numeracy is for out-of-school youth and those in post-secondary school who are basic skills deficient at participation. It is allowable to use pre-tests that are administered up to six months prior to the date of first WIA youth service. If prior pre-tests are not available, administration of the pre-test must occur within sixty days following the date of the first youth program service. [TEGL 17-05]

- Test information was not in the file.
- WorkKeys was selected in AJL by mistake; the correct test was TABE.
- Score recorded in AJL was 568. Score on the documentation was 569. These scores must match.

NEG

#12 Veteran (Demographics Snapshot)

- The participant applied for a copy of the DD214, but the WIA office never received it. The participant only worked a month then the office lost track of him.
- Participant lost his DD214 and the office attempted to assist in obtaining a copy but they never received it.

#25 Date of Dislocation (Demographics Snapshot)

Note: This element records the exact date of employment loss at the dislocation job. The Governor’s Dislocation Worker Task Force issues an “Alert” and a workers list neither of which are consistently reliable as documentation for the dislocation date.

Employees may be laid off over periods of time resulting in various dislocation dates.

- Documentation was not found in the file.

#35 Exit Date (Enrollment Details)

- The record was held open for six months beyond the date of last service.
- Date in AJL did not match the participant's self-attestation.
- In some files the date entered in AJL did not match the date on the documentation, or the file did not have a date or did not have documentation. Some dates were apparent keying errors.

#61 Other Exit Reason (Exit Questions)

- Case note stated the participant was exited with a health/medical reason due to burns. A statement was not available that indicated the condition was expected to last at least 90 days. After exit he returned to WIA, completed a new enrollment, and went to work. He worked for approximately three weeks and exited with a health reason and again there was no statement that the health reason was expected to last at least 90 days.

ELEMENTS VALIDATED AT STATE OFFICE

Some items are validated by using state MIS, which refers to specific, detailed information that is stored in the state's information system that supports an element.

It is not necessary that local area staff place documentation in the file for data validation purposes for elements listed below. These elements will be validated by state staff using AJL.

Exception: Documentation for supplemental wages (84, 85, 89, 90, 91, & 92) is required to be in the participant file. These elements will not be validated at the state office. Source documents must clearly note that the individual was employed during the applicable exit quarter. When entering supplemental wage information into AJL, do not select "record sharing/matching" for source of supplemental data. This option is for wage bank records.

Data elements relating to services include 38, 66, 68, 69, 70, 78, 79, 80, 81, 82 and 83. Service screens on the S&T must include the following: service type, O*Net and CIP (when applicable), status, provider name, provider address (city, state & zip), provider phone number, estimated start and end date, actual start and end date. If there is an employer involved, then enter the employer information and not the local area information. Example, for work experience enter the employer information.

#35 Program Exit Date
 #34 Date of program participation
 #38 Date of first youth service
 #66 Date of first staff assisted core service
 #68 Date of first intensive service
 #69 Date entered training
 #70 Date completed or withdrew from training
 #74 Type of training service
 #78 Received educational achievement services
 #79 Received employment services
 #80 Received summer employment opportunities
 #81 Received additional support for youth services
 #82 Received leadership development opportunities
 #83 Received follow-up services
 #84 Employed in 1st quarter after exit quarter (except supplemental)
 #85 Type of employment match 1st quarter after exit quarter (except supplemental)
 #89 Employed 2nd quarter after exit quarter (except supplemental)
 #90 Type of employment match 2nd quarter after exit (except supplemental)
 #91 Employed in 3rd quarter after exit quarter (except supplemental)
 #92 Type of employment match 3rd quarter after exit quarter (except supplemental)
 #95 Wages 3rd quarter prior to participation quarter
 #96 Wages 2nd quarter prior to participation quarter
 #98 Wages 1st quarter after exit quarter
 #99 Wages 2nd quarter after exit quarter
 #100 Wages 3rd quarter after exit quarter

EXIT FORM

An exit form may be treated as case notes for the elements listed below. Adequate information such as what would be in a case note must be included on the form:

#35 Date of exit
 #61 Other reasons for exit
 #153 School status at exit
 #154 Youth Placement Information
 #84 Employed in 1st quarter after exit quarter (supplemental wages)
 #85 Type of employment match 1st quarter after exit quarter (supplemental wages)
 #89 Employed 2nd quarter after exit quarter (supplemental wages)
 #90 Type of employment match 2nd quarter after exit (supplemental wages)
 #91 Employed in 3rd quarter after exit quarter (supplemental wages)
 #92 Type of employment match 3rd quarter after exit quarter (supplemental wages)

NOTES:

Following notes are regarding circumstances that were observed by state staff during the local area visits.

45 Day Rule

Documentation for Employment Status at Participation #16 and School Status at Participation #130 is often collected at the point of eligibility determination prior to the date of participation. It is allowable to complete eligibility determination forty-five days prior to the date of participation. However, it is expected that eligibility determinations be completed as close as possible to the date of first program service such as two weeks. This would be the most acceptable time for the collection of these data elements to ensure their accuracy.

Several instances occurred where documentation in the file indicated the individual possessed a particular characteristic, but “no” had been selected in AJL. Example, documentation was available for the receipt of TANF benefits, however, “no” was selected in AJL. Because “no” was selected, TANF was not included for validation. In addition, TANF participation will not be reported in the WIASRD which lowers the reported count of “hard to serve” individuals.

Documentation was found in participant files for elements that are not required to be validated. It was clear that the documentation was specifically placed in the file for data validation purposes because the data element number was hand written on the document. Validation for certain elements such as #16 Employment Status at Participation is not required for individuals who are not employed. Other examples include #3 Date of Birth which is not required to be validated for NEG participants, #20 Low Income which is not required for dislocated workers or NEG participants, and #27 offender is not required for NEG participants. DOL’s Source Documentation Requirements indicate the program for each data element.

Staff assisted core services must be recorded on the S&T; not on the Universal screen. The date of the first staff assisted core service is a reporting element on the WIASRD and is picked up from the S&T. If core services are not listed on the S&T, then follow-up, which is a core service and is always listed on the S&T, is reported in the WIASRD as the first core service. Obviously, follow-up is never the first core service.

To serve as documentation for #45 NEG Project Numbers, use the NEG grant form that contains the name of the grant and the project number. A copy of an AJL screen showing the NEG programs in which the participant was enrolled is not allowable documentation.

Copies of some driver’s licenses were hard to read or impossible to read. It is not allowable to hand write the date of birth on the paper next to the picture of the license.

When a case note is entered late (past the date of occurrence) then the date of the occurrence must be entered in the “Reference Date” field. Some follow-up notes appeared to be for the first quarter after exit, but the note was dated during the second quarter after exit.

Some youth files contained documentation to support the 6th youth barrier, but AJL had been marked “no” meaning that the youth did not possess the barrier. All barriers identified including the 6th barrier, must be selected in the Demographics Snapshot. It was noticed in some local areas that few youth were reported to possess the 6th barrier. It is important to report all barriers that an individual may possess which contributes to the state’s effort of serving those who are “hard to serve”.

Action Required: Please communicate this information to staff.

Inquiries: Contact the WIA Technical Assistance Unit

Attachments: WIA Summary/Analytical Reports

Expiration Date: Continuing

WIA Summary/Analytical Report - Adults

Report Validated: PY2012
 Number of Records Sampled: 252
 Number of Records Validated: 252
 Wrong SSNs: 0
 Invalid Records: 0
 Missing Records: 0
 Unable to Locate Records: 0

<u>Data Element</u>	<u>Element #</u>	<u># of Records with Element Present</u>	<u>No. of Errors</u>	<u>Overall Errors Rate</u>	<u>Reported Errors Rate</u>
Date Of Birth	3	252	4	1.80%	1.80%
Veteran Status	12	11	1	0.38%	9.13%
Employment Status	16	98	5	1.77%	4.79%
Low Income Status	20	206	1	0.40%	0.50%
Needy Family Status	21	6	1	0.35%	14.10%
Other Public Assistance Status	22	143	3	1.11%	1.97%
Program Participation Date	34	252	5	2.23%	2.23%
Program Exit Date	35	252	2	0.97%	0.97%
Other Exit Reasons	61	5	0	0.00%	0.00%
First Core Service Date	66	238	2	0.81%	0.86%
First Intensive Service	68	252	1	0.63%	0.63%
Date Enter Training	69	237	0	0.00%	0.00%
Date Exit Training	70	237	1	0.63%	0.68%
Training Service 1	74	252	1	0.63%	0.63%
Exit Employed 1	84	219	1	0.38%	0.46%
Exit Employed Match 1	85	219	1	0.38%	0.46%
Exit Employed 2	89	223	4	1.46%	1.72%
Exit Employed Match 2	90	223	4	1.44%	1.71%
Exit Employed 3	91	221	4	1.60%	1.90%
Exit Employed Match 3	92	221	3	1.23%	1.46%
Prior Wages 3	95	252	0	0.00%	0.00%
Prior Wages 2	96	252	0	0.00%	0.00%
Exit Wages 1	98	252	0	0.00%	0.00%
Exit Wages 2	99	252	0	0.00%	0.00%
Exit Wages 3	100	252	0	0.00%	0.00%

WIA Summary/Analytical Report - Dislocated Workers

Report Validated: PY2012
 Number of Records Sampled: 218
 Number of Records Validated: 218
 Wrong SSNs: 0
 Invalid Records: 0
 Missing Records: 0
 Unable to Locate Records: 0

Data Element	Element #	# of Records with Element Present	No. of Errors	Overall Errors Rate	Reported Errors Rate
Date Of Birth	3	218	4	1.77%	1.77%
Veteran Status	12	21	1	0.43%	4.64%
Employment Status	16	12	4	1.77%	33.94%
Needy Family	21	1	0	0.00%	0.00%
Other Public Assistance	22	18	1	0.43%	5.21%
Displaced Homemaker	24	0	0	0.00%	0.00%
Dislocation Date	25	218	11	5.13%	5.13%
Program Participation Date	34	218	4	1.85%	1.85%
Program Exit Date	35	218	1	0.45%	0.45%
Other Exit Reasons	61	9	0	0.00%	0.00%
First Core Service Date	66	216	3	1.38%	1.40%
First Intensive Service	68	218	0	0.00%	0.00%
Date Enter Training	69	199	0	0.00%	0.00%
Date Exit Training	70	199	0	0.00%	0.00%
Training Service 1	74	218	0	0.00%	0.00%
Exit Employed 1	84	205	2	0.85%	0.92%
Exit Employed Match 1	85	205	2	0.85%	0.92%
Exit Employed 2	89	205	2	0.85%	0.92%
Exit Employed Match 2	90	205	4	1.72%	1.87%
Exit Employed 3	91	201	3	1.26%	1.39%
Exit Employed Match 3	92	201	3	1.26%	1.39%
Prior Wages 3	95	218	0	0.00%	0.00%
Prior Wages 2	96	218	0	0.00%	0.00%
Exit Wages 1	98	218	0	0.00%	0.00%
Exit Wages 2	99	218	1	0.68%	0.68%
Exit Wages 3	100	218	1	0.45%	0.45%
Credential Type	102	150	0	0.00%	0.00%

WIA Summary/Analytical Report - National Emergency Grant

Report Validated: PY 2012
 Number of Records Sampled: 149
 Number of Records Validated: 149
 Wrong SSNs: 0
 Invalid Records: 0
 Missing Records: 0
 Unable to Locate Records: 0

<u>Data Element</u>	<u>Element #</u>	<u># of Records with Element Present</u>	<u>No. of Errors</u>	<u>Overall Errors Rate</u>	<u>Reported Errors Rate</u>
Veteran Status	12	19	4	2.68%	20.76%
Employment Status	16	2	0	0.00%	0.00%
Displaced Homemaker	24	0	0	0.00%	0.00%
Dislocation Date	25	149	14	9.10%	9.10%
Program Participation Date	34	149	0	0.00%	0.00%
Program Exit Date	35	149	1	0.70%	0.70%
NEG Project 1	45	149	0	0.00%	0.00%
NEG Project 2	46	5	0	0.00%	0.00%
NEG Project 3	47	1	0	0.00%	0.00%
Other Exit Reasons	61	6	2	1.12%	27.97%
First Core Service Date	66	8	0	0.00%	0.00%
First Intensive Service	68	149	1	0.59%	0.59%
Date Enter Training	69	5	0	0.00%	0.00%
Date Exit Training	70	5	0	0.00%	0.00%
Training Service 1	74	149	0	0.00%	0.00%
Exit Employed 1	84	103	0	0.00%	0.00%
Exit Employed Match 1	85	103	0	0.00%	0.00%
Exit Employed 2	89	102	1	0.56%	0.92%
Exit Employed Match 2	90	102	0	0.00%	0.00%
Exit Employed 3	91	102	0	0.00%	0.00%
Exit Employed Match 3	92	102	1	0.59%	0.95%
Prior Wages 3	95	149	0	0.00%	0.00%
Prior Wages 2	96	149	0	0.00%	0.00%
Exit Wages 1	98	149	0	0.00%	0.00%
Exit Wages 2	99	149	1	0.56%	0.56%
Exit Wages 3	100	149	0	0.00%	0.00%

WIA Summary/Analytical Report - Older Youth

Report Validated: PY 2012
 Number of Records Sampled: 93
 Number of Records Validated: 93
 Wrong SSNs: 0
 Invalid Records: 0
 Missing Records: 0
 Unable to Locate Records: 0

<u>Data Element</u>	<u>Element #</u>	<u># of Records with Element Present</u>	<u>No. of Errors</u>	<u>Overall Errors Rate</u>	<u>Reported Errors Rate</u>
Date Of Birth	3	93	0	0.00%	0.00%
Veteran Status	12	1	1	1.20%	100.00%
Employment Status	16	15	2	1.97%	12.74%
Low Income Status	20	91	0	0.00%	0.00%
Needy Family	21	3	0	0.00%	0.00%
Other Public Assistance	22	56	0	0.00%	0.00%
Homeless Runaway	26	1	1	1.09%	100.00%
Offender	27	7	0	0.00%	0.00%
Pregnant Parent	28	23	1	1.09%	4.59%
Additional Assistance	29	70	2	2.40%	3.25%
School Participation	30	93	0	0.00%	0.00%
Literacy Skills	31	52	1	0.90%	1.63%
Program Exit Date	35	93	7	7.61%	7.61%
First Youth Service Date	38	93	0	0.00%	0.00%
Other Exit Reasons	61	6	2	2.24%	30.79%
Enrolled	77	62	5	5.70%	8.81%
Achievement Services	78	41	1	1.01%	2.36%
Employment Services	79	75	1	1.32%	1.64%
Summer Employment	80	41	0	0.00%	0.00%
Additional Support	81	37	0	0.00%	0.00%
Leadership Development	82	17	0	0.00%	0.00%
Follow-up Services	83	75	33	34.82%	44.36%
Exit Employed 1	84	67	3	3.07%	4.46%
Exit Employed Match 1	85	67	1	1.09%	1.59%
Exit Employed 3	91	68	1	0.97%	1.38%
Exit Employed Match 3	92	68	0	0.00%	0.00%
Prior Wages 3	95	93	0	0.00%	0.00%
Prior Wages 2	96	93	1	1.20%	1.20%
Exit Wages 1	98	93	1	1.20%	1.20%
Exit Wages 2	99	93	3	3.38%	3.38%
Exit Wages 3	100	93	0	0.00%	0.00%
Credential Type	102	43	0	0.00%	0.00%
Degree Certificate	151	43	4	4.38%	10.04%
Date Degree Certificate	152	43	5	5.59%	12.81%
Exit School Status	153	22	6	6.44%	27.97%
Youth Placement	154	33	6	6.08%	17.50%
Youth Retention	155	26	0	0.00%	0.00%
Assessment Category	156	44	1	0.90%	1.92%
Assessment Type 1	157	40	2	1.87%	4.42%
Functional Area 1	158	40	2	1.87%	4.42%

<u>Data Element</u>	<u>Element #</u>	<u># of Records with Element Present</u>	<u>No. of Errors</u>	<u>Overall Errors Rate</u>	<u>Reported Errors Rate</u>
Pre-Test Date 1	159	5	1	0.90%	14.75%
Pre-Test Score 1	160	5	1	0.90%	14.75%
Pre-Test Education Level 1	161	5	2	1.95%	31.95%
Post-Test Date 1 Y1	162	30	1	0.97%	3.18%
Post-Test Score 1 Y1	163	30	1	0.97%	3.18%
Post-Test Education Level 1 Y 1	164	30	1	0.97%	3.18%
Post-Test Date 1 Y2	165	5	0	0.00%	0.00%
Post-Test Score 1 Y2	166	5	0	0.00%	0.00%
Post-Test Education Level 1 Y2	167	5	0	0.00%	0.00%
Post-Test Date 1 Y3	168	0	0	0.00%	0.00%
Post-Test Score 1 Y3	169	0	0	0.00%	0.00%
Post-Test Education Level 1 Y3	170	0	0	0.00%	0.00%
Assessment Type 2	171	4	0	0.00%	0.00%
Functional Area 2	172	4	0	0.00%	0.00%
Pre-Test Date 2	173	0	0	0.00%	0.00%
Pre-Test Score 2	174	0	0	0.00%	0.00%
Pre-Test Education Level 2	175	0	0	0.00%	0.00%
Post-Test Date 2 Y1	176	0	0	0.00%	0.00%
Post-Test Score 2 Y1	177	0	0	0.00%	0.00%
Post-Test Education Level 2 Y1	178	0	0	0.00%	0.00%
Post-Test Date 2 Y2	179	3	0	0.00%	0.00%
Post-Test Score 2 Y2	180	3	0	0.00%	0.00%
Post-Test Education Level 2 Y2	181	3	0	0.00%	0.00%
Post-Test Date 2 Y3	182	1	0	0.00%	0.00%
Post-Test Score 2 Y3	183	1	0	0.00%	0.00%
Post-Test Education Level 2 Y3	184	1	0	0.00%	0.00%

WIA Summary/Analytical Report - Younger Youth

Report Validated: PY 2012
 Number of Records Sampled: 255
 Number of Records Validated: 255
 Wrong SSNs: 0
 Invalid Records: 0
 Missing Records: 0
 Unable to Locate Records: 0

<u>Data Element</u>	<u>Element #</u>	<u># of Records with Element Present</u>	<u>No. of Errors</u>	<u>Overall Errors Rate</u>	<u>Reported Errors Rate</u>
Date Of Birth	3	255	3	1.36%	1.36%
Employment Status	16	24	3	1.06%	12.12%
Low Income Status	20	253	5	1.97%	1.98%
Needy Family Status	21	5	0	0.00%	0.00%
Other Public Assistance Status	22	174	6	2.34%	3.37%
Homeless Runaway Indicator	26	2	1	0.42%	47.50%
Offender	27	6	0	0.00%	0.00%
Pregnant Parent	28	14	0	0.00%	0.00%
Additional Assistance	29	170	4	1.60%	2.42%
School Participation	30	255	15	5.87%	5.87%
Literacy Skills	31	192	3	1.26%	1.69%
Foster Care	32	7	2	0.71%	27.88%
Program Exit Date	35	255	8	3.09%	3.09%
First Youth Service Date	38	255	1	0.40%	0.40%
Other Exit Reasons	61	6	0	0.00%	0.00%
Enrolled	77	242	7	3.32%	3.52%
Achievement Services	78	146	1	0.49%	0.88%
Employment Services	79	235	2	0.73%	0.79%
Summer Employment	80	192	3	1.07%	1.44%
Additional Support	81	137	5	1.86%	3.67%
Leadership Development	82	110	2	0.76%	1.86%
Follow-up Services	83	187	94	35.82%	50.74%
Exit Employed 1	84	170	2	0.82%	1.27%
Exit Employed Match 1	85	170	2	0.82%	1.27%
Exit Employed 3	91	173	1	0.46%	0.72%
Exit Employed Match 3	92	173	1	0.46%	0.72%
Exit Wages 1	98	255	0	0.00%	0.00%
Exit Wages 3	100	255	7	2.64%	2.64%
Goal Type 1	103	141	1	0.38%	0.69%
Date Goal Set 1	104	141	7	3.01%	5.43%
Goal Attainment 1	105	141	2	0.80%	1.45%
Date Goal Attained 1	106	141	3	1.20%	2.17%
Goal Type 2	107	96	6	2.23%	6.08%
Date Goal Set 2	108	96	6	2.26%	6.18%
Goal Attainment 2	109	96	6	2.23%	6.08%
Date Goal Attained 2	110	96	5	1.93%	5.25%
Goal Type 3	111	76	3	1.21%	4.20%
Date Goal Set 3	112	76	3	1.21%	4.20%
Goal Attainment 3	113	76	4	1.55%	5.37%
Date Goal Attained 3	114	76	6	2.15%	7.44%

<u>Data Element</u>	<u>Element #</u>	<u># of Records with Element Present</u>	<u>No. of Errors</u>	<u>Overall Errors Rate</u>	<u>Reported Errors Rate</u>
Goal Type 4	115	24	1	0.32%	3.52%
Date Goal Set 4	116	24	1	0.32%	3.52%
Goal Attainment 4	117	24	1	0.32%	3.52%
Date Goal Attained 4	118	24	3	1.01%	11.27%
Goal Type 5	119	16	2	0.87%	13.84%
Date Goal Set 5	120	16	2	0.87%	13.84%
Goal Attainment 5	121	16	2	0.87%	13.84%
Date Goal Attained 5	122	16	2	0.87%	13.84%
Goal Type 6	123	5	0	0.00%	0.00%
Date Goal Set 6	124	5	1	0.42%	20.58%
Goal Attainment 6	125	5	0	0.00%	0.00%
Date Goal Attained 6	126	5	0	0.00%	0.00%
Goal Type 7	127	3	1	0.40%	30.69%
Date Goal Set 7	128	3	2	0.84%	64.46%
Goal Attainment 7	129	3	1	0.40%	30.69%
Date Goal Attained 7	130	3	1	0.40%	30.69%
Goal Type 8	131	1	0	0.00%	0.00%
Date Goal Set 8	132	1	0	0.00%	0.00%
Goal Attainment 8	133	1	0	0.00%	0.00%
Date Goal Attained 8	134	1	0	0.00%	0.00%
Degree Certificate	151	217	7	2.75%	3.33%
Date Degree Certificate	152	217	9	3.26%	3.96%
Exit School Status	153	105	33	13.13%	33.38%
Youth Placement	154	141	24	9.63%	18.20%
Youth Retention	155	130	1	0.37%	0.76%
Assessment Category	156	16	0	0.00%	0.00%
Assessment Type 1	157	14	0	0.00%	0.00%
Functional Area 1	158	14	0	0.00%	0.00%
Pre-Test Date 1	159	0	0	0.00%	0.00%
Pre-Test Score 1	160	0	0	0.00%	0.00%
Pre-Test Education Level 1	161	0	0	0.00%	0.00%
Post-Test Date 1 Y1	162	14	0	0.00%	0.00%
Post Test Score 1 Y1	163	14	0	0.00%	0.00%
Post Test Education Level 1 Y1	164	14	1	0.40%	6.91%
Post-Test Date 1 Y2	165	0	0	0.00%	0.00%
Post-Test Score 1 Y2	166	0	0	0.00%	0.00%
Post-Test Education Level 1 Y2	167	0	0	0.00%	0.00%
Post-Test Date 1 Y3	168	0	0	0.00%	0.00%
Post-Test Score 1 Y3	169	0	0	0.00%	0.00%
Post-Test Education Level 1 Y3	170	0	0	0.00%	0.00%
Assessment Type 2	171	2	0	0.00%	0.00%
Functional Area 2	172	2	1	0.34%	43.48%
Pre-Test Date 2	173	0	0	0.00%	0.00%
Pre-Test Score 2	174	0	0	0.00%	0.00%
Pre-Test Education Level 2	175	0	0	0.00%	0.00%
Post-Test Date 2 Y1	176	1	0	0.00%	0.00%
Post-Test Score 2 Y1	177	1	0	0.00%	0.00%
Post-Test Education Level 2 Y1	178	1	0	0.00%	0.00%
Post-Test Date 2 Y2	179	1	0	0.00%	0.00%
Post-Test Score 2 Y2	180	1	1	0.34%	100.00%
Post-Test Education Level 2 Y2	181	1	0	0.00%	0.00%

